

CUSTOMER FILES – PAPER FILES FOR RESIDENT CUSTOMERS

Information about the content, placement and retention of resident customer paper files is found in several places in these Standards and Guidelines. The information contained in this attachment is to be used as a reference aide for documents to be included in customers' paper files.

Unless otherwise stated staff must not duplicate information found in one of Workforce Solutions Management Information Systems for a customer's paper file. Paper files contain information provided by the customer or vendor listed below:

1. Eligibility Documents
 2. Financial records or receipts
 3. Signed Agreements
 4. Tracking Documents
- Who has a paper file?
1. Customers who agree to receive a series of Expanded Services from Workforce Solutions professional staff.
 2. Ex-offenders referred to Workforce Solutions by staff of Texas Correctional Institutions - Texas Department of Criminal Justice, Texas Youth Council, or Texas Parole offices.
 3. Customers who are eligible to receive services provided in the Trade Act.
 4. Customers who receive Financial Aid from Workforce Solutions.
 5. Customers receiving any level of service (Basic, Expanded or Financial Aid) who must track work search with Workforce Solutions staff in order to retain Temporary Assistance for Needy Families (TANF), Food Stamps, or Child Care Financial Assistance.
- Location of the paper file
1. **Alpha Files** - Each office will have 3 central alpha files
 - a. The signed WorkSource addendum, or paper application used as an addendum, for customers receiving expanded services - attach supporting documents and receipts or vouchers ¹
 - b. Brochures signed by customers who are tagged in TWIST Program Detail/RIO - attach supporting documents and receipts or vouchers ¹
 - c. Trade Act Signature forms for customers who are tagged in TWIST Program Detail/TAA - Attach forms for each individual
 - ✓ Explanation of services – TAA-1
 - ✓ Waiver of Training Recommendation
 - ✓ Form for request for Job Search Allowances – ETA – 860

¹ Financial forms may be kept in central office file

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✓ Form for request for Relocation Allowances – ETA – 861

2. **Individual File Folders** - Individual files will be maintained for
 - a. Customers who receive financial aid from Workforce Solutions in an amount over \$200.00 in a twelve month period.
 - b. Customers who have hours of cooperation with Workforce Solutions tracked.
3. **Office Location** - The paper file is maintained where the customer or staff member completes or delivers the document to be filed. One customer may have documents filed in several offices. (Instructions follow)

When documents are delivered or completed at more than one location a note in the appropriate MIS must indicate the location of the document. For example, Mary Smith receives a letter from the administrative office of Workforce Solutions child care contractor stating that in order to continue to receive payment for her child's care she must provide a copy of a check stub noting her salary and hours worked. A file containing agreements signed by Ms. Smith, and noting the original daycare enrollment information for her daughter, is at the administrative office. Ms. Smith delivers the check stub to the career office at Greenspoint which is near her place of work. She has not previously been to that office. The Financial Aid Specialist at Greenspoint will make a copy of the check stub, provide the customer any requested assistance, and include a note in the MIS that the stub is maintained in a file at Workforce Solutions Greenspoint. Notes in the MIS will be manually entered by the staff member unless the system provides an automatic track making it clear where the document can be found.

4. **Location within the office** - Customer paper files will not be kept in employee's desks. A Program Tracking Specialist may maintain the files for customers she is actively tracking in her work space. Other staff will use the MIS to record ongoing services and will not need regular access to paper files.

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- What is in the individual paper file folder?
 1. **Customers receiving financial aid of more than \$200 in 12 months** from Workforce Solutions. The paper addendum will be included in this folder. Each customer file will contain documents from the list below pertaining to her individual circumstance as required in the Standards and Guidelines.
 - ✓ WorkSource Application for Financial Aid
 - ✓ Income documentation – check stubs, profit and loss statements, etc. for receipt of services
 - ✓ Proof of age and legal status to work in the United States if required for receipt of service
 - ✓ Copy of Individual Referral Form returned by Training Institution
 - ✓ Copy of Individual Referral/Cost Obligation Form returned by Training Institution
 - ✓ Copy of Authorization for Enrollment Voucher-educational institution
 - ✓ Students Attendance & Progress Report
 - ✓ Information supporting supplemental wage information for WIA performance credit
 - ✓ Paper documents for payments of goods or services to the customer i.e. invoices, receipts, expense forms or other records of financial aid
 - ✓ Copies of certificates or diplomas
 - ✓ Child care application for low income parents – Form 2050
 - ✓ Financial Aid award letter
 - ✓ Child care authorization to enroll sent to care providers -2450/2450-A
 - ✓ Payment of child care from WIA office budget (outlying offices)
 - ✓ Form 2510 if authorization or child care was not made directly into the MIS
 - ✓ Parent Acknowledgement form
 - ✓ Termination of Child Care Services – Form 2052/1070
 - ✓ Personal Responsibility Documentation – Attorney General Documentation showing amount of child support, AG letter showing parent application for child support, or document showing good cause why not
 - ✓ Unregulated child care provider information – Name, SSN, address, telephone number, W-9 Request for Taxpayer ID number
 - ✓ Child care provider payment file – Form number 2455 (kept at location of contractor who makes payment)
 3. **Customers** receiving any level of service (Basic, Expanded or Financial Aid) **who must have cooperation with Workforce Solutions tracked** to obtain/retain Temporary Assistance for Needy Families (TANF), Food Stamps, or Child Care Financial Assistance.
 - ✓ Orientation Brochure – Signed Family Employment Plan or Employment Plan
 - ✓ Attendance Tracking Documents – Job Search Worksheets, Documentation of participation in other required activities ²

² This is an exception to the rule that information entered into TWIST does not need to be kept in a paper file

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- ✓ Community service Workfare assignment letter [these letters may be maintained in a separate office file for all such letters or in the customer file – not both]
 - ✓ Form 1822 – ABAWD referral form - when sent from HHSC should be copied for the customer file.
 - ✓ Copy of recruitment letter
 - ✓ Form 1817 Food Stamp E & T Information Transmittal form communicating information or a request that HHSC reconsider a requirement that a customer look for work with Workforce Solutions or lose food stamps.
 - ✓ Form 1817 or 2583 communicating employment of a common customer to HHSC. (*Information may be maintained in the paper file or recorded in TWIST counselor notes.*)
 - ✓ Form 1836 from HHSC stating a doctor’s opinion to grant a medical exemption for hours.
 - ✓ Doctor’s notes
 - ✓ Conditional form 2588
 - ✓ Copies of correspondence not noted in an MIS from Workforce Solutions to the customer and all written correspondence from the customer
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- Optional items
 - ✓ Resume